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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/808,965	03/25/2004	Raghunath Vitthal Chaudari	A36200-PCT-USA-A 066123.

21003  
 BAKER & BOTTS  
 30 ROCKEFELLER PLAZA  
 NEW YORK, NY 10112

CONFIRMATION NO. 7075

## FORMALITIES LETTER



\*OC000000012925862\*

Date Mailed: 06/14/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts

07/27/2004 DTESSEM1 00000084 10808965

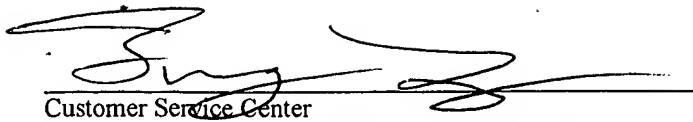
Commissioner for Patents

01 FC:2051

65.00 DP P.O. Box 1450

Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*



A handwritten signature in black ink, appearing to be 'Jing', is written over a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

**BAKER BOTTS LLP**Please type a plus sign (+) inside this box → ☐**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>Application Number</b>	10/808,965		
	<b>Filing Date</b>	March 25, 2004	
	<b>First Named Inventor</b>	Chaudhari et al	
	<b>Group Art Unit</b>	1625	
	<b>Examiner Name</b>	To be determined	
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b>	A36200-PCT-USA-A; 066123.0126

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Executed Combined Declaration and Power of Attorney; copy of Notice to File Missing Parts; check in the amount of \$65 Listing of Attys pursuant to CFR Sec. 1.32 (c)(3); and return postcard.
<b>Remarks</b> <input type="checkbox"/>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

<b>Firm or Individual name</b>	BakerBotts LLP 30 Rockefeller Plaza New York, NY 10112
<b>Signature</b>	<i>Rochelle K. Seide</i> Att Name: Rochelle K. Seide, Ph.D. PTO Reg: 32,300
<b>Date</b>	July 23, 2004

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450: July 23, 2004

<b>Typed or printed name</b>	Rochelle K. Seide, Ph.D.
<b>Signature</b>	<i>Rochelle K. Seide</i> <b>Date</b> July 23, 2004

**BAKER BOTTS** LLP

Attorney Docket Number: A36200-PCT-USA-A; 066123.0126



Title:

A PROCESS FOR THE PREPARATION OF 2-HYDROXY CARBOXYLIC ACIDS

Use Space Below for Additional Information:

**BAKER BOTTS LLP**

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT****(\$)** 65**Complete if Known**

Application Number	10/808,965
Filing Date	March 25, 2004
First Named Inventor	Chaudhari et al
Examiner Name	To be determined
Art Unit	1625
Attorney Docket No.	A36200-PCT-USA-A; 066123.0126

**METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

02-4377

Baker Botts LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee required under 37CFR 1.16 and 1.17☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims		Extra Claims		Fee from below		Fee Paid	
Independent Claims		- 20 =	0	X		=	0
Multiple Dependent		- 3 =	0	X		=	0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	65
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

65

**SUBMITTED BY**

Name (Print/Type) Rochelle K. Seide, Ph.D.

Registration No.  
(Attorney/Agent)

32,300

(Complete if applicable)

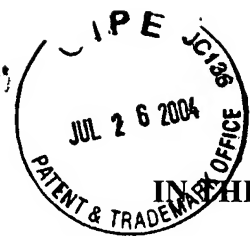
Telephone 212.408.2626

Signature

Rochelle K. Seide

Date

July 23, 2004



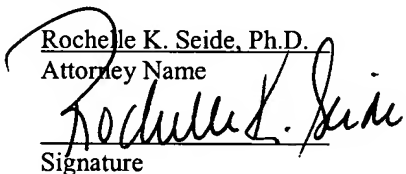
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Chaudhari et al.  
Application No.: 10/808,965 Examiner: To be assigned  
Filed: March 25, 2004 Art Unit: 1625  
For: A PROCESS FOR THE PREPARATION OF 2-HYDROXY CARBOXYLIC ACIDS

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION**

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.

July 23, 2004  
Date of Deposit

<u>Rochelle K. Seide, Ph.D.</u>	<u>32,300</u>
Attorney Name	Registration No.
	<u>July 23, 2004</u>
Signature	Date of Signature

Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

**Mail Stop Missing Parts**

Sir:

This paper is submitted in response to the Notice to File Missing Parts of Nonprovisional Application ("Notice") issued in the above-identified application on June 14, 2004. Applicants submit herewith a Combined Declaration and Power of Attorney ("Declaration") in compliance with 37 C.F.R. § 1.63. A copy of the Notice is also enclosed.

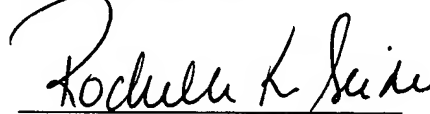
The Declaration names sixteen attorneys as representatives conferred with the power of attorney. Pursuant to 37. C.F.R. §1.32 (c)(3), Applicants also submit the enclosed separate paper

indicating which of the sixteen attorneys are to be recognized by the Patent Office as attorneys of record.

Applicants also enclose the fee required for late filing of a Declaration pursuant to 37 C.F.R. § 1.16(e). If any additional fee is due, or if any overpayment has been made, in connection with the filing of this response, the Commissioner is authorized to charge any such fee or credit any overpayment, to our Deposit Account No. 02-4377. A duplicate copy of this paper is enclosed.

Respectfully submitted,

BAKER BOTTS LLP

A handwritten signature in cursive script, reading "Rochelle K. Seide", written over a horizontal line.

Rochelle K. Seide, Ph.D.  
Patent Office Reg. No. 32,300

*Attorney for Applicant*

30 Rockefeller Plaza  
New York, NY 10112-4498  
(212)-408-2500



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Chaudhari et al.

Application No.: 10/808,965

Examiner: To be assigned

Filed: March 25, 2004

Art Unit: 1625

For: A PROCESS FOR THE PREPARATION OF 2-HYDROXY CARBOXYLIC  
ACIDS

**LISTING OF ATTORNEYS PURSUANT TO 37 C.F.R. §1.32(c)(3)**

I hereby certify that this paper is being deposited with the United States  
Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.

July 23, 2004

Date of Deposit

Rochelle K. Seide, Ph.D.

Attorney Name

Rochelle K. Seide  
Signature

32,300

Registration No.

July 23, 2004

Date of Signature

Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

**Mail Stop Missing Parts**

Sir:

Pursuant to 37. C.F.R. §1.32 (c)(3), Applicants submit the following list of  
representatives to be recognized by the Patent Office as attorneys of record.

Rochelle K. Seide, Reg. No. 32,300

Lisa B. Kole, Reg. No. 35,225

Carmella L. Stephens, Reg. No. 41,328

Kimberly J. McGraw, Reg. No. 50,994



Walter M. Egbert, Reg. No. 37,317

Peter Shen, Reg. No. 52,217

The above-listed attorneys are provided on the accompanying Combined Declaration and Power of Attorney, which lists a total of sixteen attorneys. Please enter the individuals listed herein as attorneys of record for the above-identified application.

Respectfully submitted,

BAKER BOTTS LLP

A handwritten signature in cursive script, reading "Rochelle K. Seide", written over a horizontal line.

Rochelle K. Seide, Ph.D.

Patent Office Reg. No. 32,300

*Attorney for Applicant*

30 Rockefeller Plaza  
New York, NY 10112-4498  
(212)-408-2500